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Rev. 04/01

Docket No. NOVA-014



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Lo et al.  
Application No.: 09/871,229  
Filed : May 31, 2001  
For : SURFACE-EMITTING LASER DEVICES WITH  
INTEGRATED BEAM-SHAPING OPTICS AND  
POWER-MONITORING DETECTORS  
Examiner : Unassigned

Hon. Commissioner  
for Patents  
Washington, D.C. 20231

TRANSMITTAL LETTER FOR  
INFORMATION DISCLOSURE STATEMENT

Sir:

Transmitted herewith is an Information Disclosure  
Statement in the above-identified application. This  
Statement is submitted:

- ☐ within three months of the application filing date;
- ☒ more than three months from the application filing date but before the mailing date of the first Office Action on the merits.

In accordance with 37 C.F.R. § 1.97, submission of this Statement requires no fee. However, if for any reason a fee is due, the Commissioner is hereby authorized to charge payment of any fees required in connection with this Information Disclosure Statement to Deposit Account

**BEST AVAILABLE COPY**

No. 06-1075. A duplicate copy of this letter is transmitted herewith.

Respectfully submitted,



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WASHINGTON, D.C. 20231, ON

09-21-2001  
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PATENTS  
NOVA-014

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Hon. Commissioner  
for Patents  
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §§ 1.56, 1.97, and 1.98,  
applicants hereby make the following documents of record in  
the above identified application:<sup>\*</sup>

U.S. Patents

Liau et al.	4,718,070	06/1988
Liau et al.	4,935,939	06/1990

Other Publications

Z. L. Liau, J. N. Walpole, "Surface-emitting  
GaInAsP/InP laser with low threshold current and high  
efficiency", Applied Physics Letters, vol. 46, no. 2,  
pp. 115-117, 1985.

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\* Applicants reserve the right to challenge the status of any  
of the cited documents as prior art.

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H. Saito, Y. Noguchi, "A reflection-type surface-emitting 1.3  $\mu\text{m}$  GaInAsP/InP laser array with microcoated reflector", Japanese Journal of Applied Physics, vol. 28, pp. L1239-L1241, 1989.

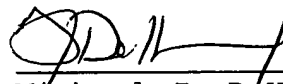
B. Stegmuller, H. Westermeier, W. Thulke, G. Franz, and D. Sacher, "Surface-emitting InGaAsP/InP distributed feedback laser diode at 1.53  $\mu\text{m}$  with monolithic integrated microlens", IEEE Photonics Technology Letters, vol. 3, no. 9, pp. 776-778, 1991.

Copies of the aforementioned documents, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), are enclosed herewith.

It is respectfully requested that these documents be (1) fully considered by the Patent and Trademark Office during the examination of this application; and (2) printed on any patent that may issue on this application. Applicants request that a copy of Form PTO-1449 (submitted in duplicate herewith), as considered and initialed by the Examiner, be returned with the next communication.

An early and favorable action is respectfully requested.

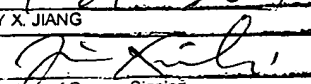
Respectfully submitted,



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LILY X. JIANG  
  
Signature of Person Signing